

# PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

PCT

To:  
**GENERAL ELECTRIC COMPANY**  
 Patent Counsel  
 Attn. Winter, Catherine J.  
 3135 Easton Turnpike (W3C)  
 Fairfield, Connecticut 06828  
 UNITED STATES OF AMERICA

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APR 12 2005

(PCT Rule 44.1)

IPO  
 GENERAL ELECTRIC COMPANY

Date of mailing  
 (day/month/year)

11/04/2005

Applicant's or agent's file reference  (08CL) 136608	FOR FURTHER ACTION      See paragraphs 1 and 4 below
International application No.  PCT/US2004/041349	International filing date (day/month/year)  24/11/2004
Applicant  GENERAL ELECTRIC COMPANY	

Action Due 4-26-05

Attorney C. T. D.  
 Logged By D. H. 4.12.05

1.  The applicant is hereby notified that the International search report and the written opinion of the International Searching Authority have been established and are transmitted herewith.

**Filing of amendments and statement under Article 19:**

The applicant is entitled, if he so wishes, to amend the claims of the International Application (see Rule 46):

**When?** The time limit for filing such amendments is normally 2 months from the date of transmittal of the International Search Report; however, for more details, see the notes on the accompanying sheet.

**Where?** Directly to the International Bureau of WIPO, 34 chemin des Colombettes  
 1211 Geneva 20, Switzerland, Fascimile No.: (41-22) 740.14.35

For more detailed instructions, see the notes on the accompanying sheet.

2.  The applicant is hereby notified that no international search report will be established and that the declaration under Article 17(2)(a) to that effect and the written opinion of the International Searching Authority are transmitted herewith.

3.  With regard to the protest against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:

- the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices.
- no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

4. Reminders

Shortly after the expiration of 18 months from the priority date, the international application will be published by the International Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the International application, or of the priority claim, must reach the International Bureau as provided in Rules 90bis.1 and 90bis.3, respectively, before the completion of the technical preparations for international publication.

The applicant may submit comments on an informal basis on the written opinion of the International Searching Authority to the International Bureau. The International Bureau will send a copy of such comments to all designated Offices unless an international preliminary examination report has been or is to be established. These comments would also be made available to the public but not before the expiration of 30 months from the priority date.

Within 19 months from the priority date, but only in respect of some designated Offices, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until 30 months from the priority date (in some Offices even later); otherwise, the applicant must, within 20 months from the priority date, perform the prescribed acts for entry into the national phase before those designated Offices.

In respect of other designated Offices, the time limit of 30 months (or later) will apply even if no demand is filed within 19 months.

See the Annex to Form PCT/IB/301 and, for details about the applicable time limits, Office by Office, see the *PCT Applicant's Guide*, Volume II, National Chapters and the WIPO Internet site.

Name and mailing address of the International Searching Authority   European Patent Office, P.B. 5818 Patentlaan 2 NL-2280 HV Rijswijk Tel. (+31-70) 340-2040, Tx. 31 651 epo nl, Fax: (+31-70) 340-3016	Authorized officer  <div style="text-align: center;"> <div style="border: 1px solid black; padding: 2px; display: inline-block;">           COZA-DREYER  <b>DOCKETED</b>            Due: July 11            IPS         </div> <div style="border: 1px solid black; padding: 2px; display: inline-block;">           Item: <u>IPS</u>            Initials: <u>Wm</u> On: <u>4/29/05</u> </div> </div>
(See notes on accompanying sheet)	

## NOTES TO FORM PCT/ISA/220

These Notes are intended to give the basic instructions concerning the filing of amendments under article 19. The Notes are based on the requirements of the Patent Cooperation Treaty, the Regulations and the Administrative Instructions under that Treaty. In case of discrepancy between these Notes and those requirements, the latter are applicable. For more detailed information, see also the PCT Applicant's Guide, a publication of WIPO.

In these Notes, "Article", "Rule", and "Section" refer to the provisions of the PCT, the PCT Regulations and the PCT Administrative Instructions respectively.

### INSTRUCTIONS CONCERNING AMENDMENTS UNDER ARTICLE 19

The applicant has, after having received the international search report, one opportunity to amend the claims of the international application. It should however be emphasized that, since all parts of the international application (claims, description and drawings) may be amended during the international preliminary examination procedure, there is usually no need to file amendments of the claims under Article 19 except where, e.g. the applicant wants the latter to be published for the purposes of provisional protection or has another reason for amending the claims before international publication. Furthermore, it should be emphasized that provisional protection is available in some States only.

#### What parts of the international application may be amended?

Under Article 19, only the claims may be amended.

During the international phase, the claims may also be amended (or further amended) under Article 34 before the International Preliminary Examining Authority. The description and drawings may only be amended under Article 34 before the International Examining Authority.

Upon entry into the national phase, all parts of the international application may be amended under Article 28 or, where applicable, Article 41.

**When?** Within 2 months from the date of transmittal of the international search report or 16 months from the priority date, whichever time limit expires later. It should be noted, however, that the amendments will be considered as having been received on time if they are received by the International Bureau after the expiration of the applicable time limit but before the completion of the technical preparations for international publication (Rule 46.1).

#### Where not to file the amendments?

The amendments may only be filed with the International Bureau and not with the receiving Office or the International Searching Authority (Rule 46.2).

Where a demand for international preliminary examination has been filed, see below.

**How?** Either by cancelling one or more entire claims, by adding one or more new claims or by amending the text of one or more of the claims as filed.

A replacement sheet must be submitted for each sheet of the claims which, on account of an amendment or amendments, differs from the sheet originally filed.

All the claims appearing on a replacement sheet must be numbered in Arabic numerals. Where a claim is cancelled, no renumbering of the other claims is required. In all cases where claims are renumbered, they must be renumbered consecutively (Administrative Instructions, Section 205(b)).

The amendments must be made in the language in which the international application is to be published.

#### What documents must/may accompany the amendments?

Letter (Section 205(b)):

The amendments must be submitted with a letter.

The letter will not be published with the international application and the amended claims. It should not be confused with the "Statement under Article 19(1)" (see below, under "Statement under Article 19(1)").

The letter must be in English or French, at the choice of the applicant. However, if the language of the international application is English, the letter must be in English; if the language of the international application is French, the letter must be in French.

## NOTES TO FORM PCT/ISA/220 (continued)

The letter must indicate the differences between the claims as filed and the claims as amended. It must, in particular, indicate, in connection with each claim appearing in the international application (it being understood that identical indications concerning several claims may be grouped), whether

- (i) the claim is unchanged;
- (ii) the claim is cancelled;
- (iii) the claim is new;
- (iv) the claim replaces one or more claims as filed;
- (v) the claim is the result of the division of a claim as filed.

The following examples illustrate the manner in which amendments must be explained in the accompanying letter:

1. [Where originally there were 48 claims and after amendment of some claims there are 51]:  
"Claims 1 to 29, 31, 32, 34, 35, 37 to 48 replaced by amended claims bearing the same numbers; claims 30, 33 and 36 unchanged; new claims 49 to 51 added."
2. [Where originally there were 15 claims and after amendment of all claims there are 11]:  
"Claims 1 to 15 replaced by amended claims 1 to 11."
3. [Where originally there were 14 claims and the amendments consist in cancelling some claims and in adding new claims]:  
"Claims 1 to 6 and 14 unchanged; claims 7 to 13 cancelled; new claims 15, 16 and 17 added." or  
"Claims 7 to 13 cancelled; new claims 15, 16 and 17 added; all other claims unchanged."
4. [Where various kinds of amendments are made]:  
"Claims 1-10 unchanged; claims 11 to 13, 18 and 19 cancelled; claims 14, 15 and 16 replaced by amended claim 14; claim 17 subdivided into amended claims 15, 16 and 17; new claims 20 and 21 added."

### "Statement under article 19(1)" (Rule 46.4)

The amendments may be accompanied by a statement explaining the amendments and indicating any impact that such amendments might have on the description and the drawings (which cannot be amended under Article 19(1)).

The statement will be published with the international application and the amended claims.

It must be in the language in which the International application is to be published.

It must be brief, not exceeding 500 words if in English or if translated into English.

It should not be confused with and does not replace the letter indicating the differences between the claims as filed and as amended. It must be filed on a separate sheet and must be identified as such by a heading, preferably by using the words "Statement under Article 19(1)."

It may not contain any disparaging comments on the international search report or the relevance of citations contained in that report. Reference to citations, relevant to a given claim, contained in the international search report may be made only in connection with an amendment of that claim.

### Consequence if a demand for international preliminary examination has already been filed

If, at the time of filing any amendments under Article 19, a demand for international preliminary examination has already been submitted, the applicant must preferably, at the same time of filing the amendments with the International Bureau, also file a copy of such amendments with the International Preliminary Examining Authority (see Rule 62.2(a), first sentence).

### Consequence with regard to translation of the International application for entry into the national phase

The applicant's attention is drawn to the fact that, where upon entry into the national phase, a translation of the claims as amended under Article 19 may have to be furnished to the designated/elected Offices, instead of, or in addition to, the translation of the claims as filed.

For further details on the requirements of each designated/elected Office, see Volume II of the PCT Applicant's Guide.

## PATENT COOPERATION TREATY

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GENERAL ELECTRIC CO.  
IPO

## INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference  (08CL) 136608	<b>FOR FURTHER ACTION</b> see Form PCT/ISA/220 as well as, where applicable, item 5 below.	
International application No.  PCT/US2004/041349	International filing date (day/month/year)  24/11/2004	(Earliest) Priority Date (day/month/year)  26/11/2003
Applicant  GENERAL ELECTRIC COMPANY		

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of 5 sheets.

It is also accompanied by a copy of each prior art document cited in this report.

**1. Basis of the report**

a. With regard to the language, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

The international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

b.  With regard to any nucleotide and/or amino acid sequence disclosed in the international application, see Box No. I.

2.  Certain claims were found unsearchable (See Box II).

3.  Unity of Invention is lacking (see Box III).

4. With regard to the title,

the text is approved as submitted by the applicant.

the text has been established by this Authority to read as follows:

FLUORESCENCE TAG BASED METHOD OF AUTHENTICATING POLYMERS, AUTHENTICATABLE POLYMERS, METHODS OF MAKING AUTHENTICATABLE POLYMERS AND AUTHENTICATABLE ARTICLES, AND ARTICLES MADE THERE FROM

5. With regard to the abstract,

the text is approved as submitted by the applicant.

the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box No. IV. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. With regard to the drawings,

a. the figure of the drawings to be published with the abstract is Figure No. 1

as suggested by the applicant.

as selected by this Authority, because the applicant failed to suggest a figure.

as selected by this Authority, because this figure better characterizes the invention.

b.  none of the figures is to be published with the abstract.

**INTERNATIONAL SEARCH REPORT**

International application No.

PCT/US2004/041349

**Box No. IV Text of the abstract (Continuation of Item 5 of the first sheet)**

Disclosed is a method of authenticating that a test polymer is in authenticatable polymer, wherein the authenticatable polymer has an authentication signal and comprises a substrate polymer and an optically variable tag, preferably said tag comprises an oxadiazole derivative, the optically variable tag having a fluorescence emission whose wavelength or intensity change over time, preferably the wavelength and intensity of the fluorescence emission changes over time, the method comprising subjecting the test polymer to a stimulus sufficient to cause fluorescence of the optically variable tag, determining a test signal from the fluorescence of the test polymer, and authenticating that the test polymer is an authenticatable polymer if the test signal is the same as the authentication signal of the authenticatable polymer. The invention particularly relates to a nondestructive authentication technology for use in data storage media made of polycarbonate such as compact disks (CDs) and digital versatile disks (DVDs).

## INTERNATIONAL SEARCH REPORT

International Application No PCT/US2004/041349
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A. CLASSIFICATION OF SUBJECT MATTER IPC 7 G01N21/64 G06K7/12 G06K19/14 G11B7/24
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According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)  
IPC 7 G01N G06K G11B

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, WPI Data, PAJ, INSPEC

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	US 6 380 547 B1 (GONZALEZ MANUEL E ET AL) 30 April 2002 (2002-04-30) see in particular figure 4 the whole document	1-12
X	US 6 402 986 B1 (JONES, II GUILFORD ET AL) 11 June 2002 (2002-06-11) abstract columns 1,2,5,6, lines 8-10; figures 2,6	1-12 -/-

Further documents are listed in the continuation of box C.

Patent family members are listed in annex.

## \* Special categories of cited documents :

- \*A\* document defining the general state of the art which is not considered to be of particular relevance
- \*E\* earlier document but published on or after the international filing date
- \*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- \*O\* document referring to an oral disclosure, use, exhibition or other means
- \*P\* document published prior to the International filing date but later than the priority date claimed

- \*T\* later document published after the International filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- \*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- \*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- \*&\* document member of the same patent family

Date of the actual completion of the international search  1 April 2005	Date of mailing of the international search report  11/04/2005
Name and mailing address of the ISA  European Patent Office, P.B. 5818 Patentlaan 2 NL - 2280 HV Rijswijk Tel. (+31-70) 340-2040, Tx. 31 651 epo nl, Fax: (+31-70) 340-3016	Authorized officer  Duijs, E

## INTERNATIONAL SEARCH REPORT

International Application No  
PCT/US2004/041349

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
P,X	WO 03/105075 A (TRUSTEES OF BOSTON UNIVERSITY; JONES, GUILFORD, II; BURKE, SHAWN; MCDO) 18 December 2003 (2003-12-18) page 5, line 18 – line 31 page 7, line 23 – line 27 page 9, line 4 – line 7 page 15, line 12 – page 16, line 31 page 21, line 20 – line 28 page 22, line 18 – line 28 page 23, line 25 – page 29, line 22; figures 4,6,7,9A,9B page 33, line 7 – line 11; figures 14,15; examples 4,5 -----	1-12
A	US 2003/021998 A1 (HUBBARD STEVEN FREDERICK ET AL) 30 January 2003 (2003-01-30) paragraphs '0002!', '0005!', '0011!', '0013!', '0015!', '0022!', '0023!', '0025! -----	3-5
A	US 6 099 930 A (CYR ET AL) 8 August 2000 (2000-08-08) cited in the application abstract column 8, line 62 -----	3,12
A	PATENT ABSTRACTS OF JAPAN vol. 1997, no. 08, 29 August 1997 (1997-08-29) & JP 09 104679 A (RICOH CO LTD), 22 April 1997 (1997-04-22) abstract -----	3,4

## INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US2004/041349

Patent document cited in search report		Publication date		Patent family member(s)		Publication date
US 6380547	B1	30-04-2002	AU AU CA EP	739620 B2 7827098 A 2295967 A1 0993715 A1		18-10-2001 30-12-1998 17-12-1998 19-04-2000
US 6402986	B1	11-06-2002		NONE		
WO 03105075	A	18-12-2003	WO AU	03105075 A1 2002345586 A1		18-12-2003 22-12-2003
US 2003021998	A1	30-01-2003	EP JP WO	1409997 A1 2004534953 T 03006965 A1		21-04-2004 18-11-2004 23-01-2003
US 6099930	A	08-08-2000	AU EP JP WO	7889198 A 0951384 A1 2001507847 T 9829238 A1		31-07-1998 27-10-1999 12-06-2001 09-07-1998
JP 09104679	A	22-04-1997		NONE		

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